

**PLEASE KEEP YOUR  
CAMERAS AND  
MICROPHONES OFF**

**POST-AWARD PROCEDURES AND TECHNICAL DESIGN  
REQUIREMENTS FOR NIH C06 PROJECTS**

**September 25, 2023**



# POST-AWARD PROCEDURES AND TECHNICAL DESIGN REQUIREMENTS FOR NIH C06 PROJECTS

Xiang-Ning Li, Kenneth Holiness,  
and Steven Breslin

September 25, 2023

ORIP/DPCPSI/OD/NIH



National Institutes of Health  
Office of Research Infrastructure Programs

# Overview of the Presentations

- **Introducing Our Team**
- **Project Timelines, Challenges & Lessons Learned – Xiang-Ning Li**
- **Award Requirements – Kenneth Holiness**
- **Design Technical Review (DTR) – Steven Breslin**
- **No scope change will be allowed after DTR review is complete.**
- **Q&As – All.**



# Team Introductions

## ORIP

Xiang-Ning Li, MD, PhD  
Yong Chen, PhD  
Guangzhou (Jeff) Wang, PhD  
Flaubert Tchantchou, PhD  
Monika Aggarwal, PhD

## OGM

Gavin Wilkom, MIM  
Sabrina Oasan  
Kenneth Holiness  
Donna James

## ORF

Steven Breslin, AIA, PE  
Jordan Blackburn, PE  
Neetha Varghese, PE



**ORIP – Office of Research Infrastructure Programs**

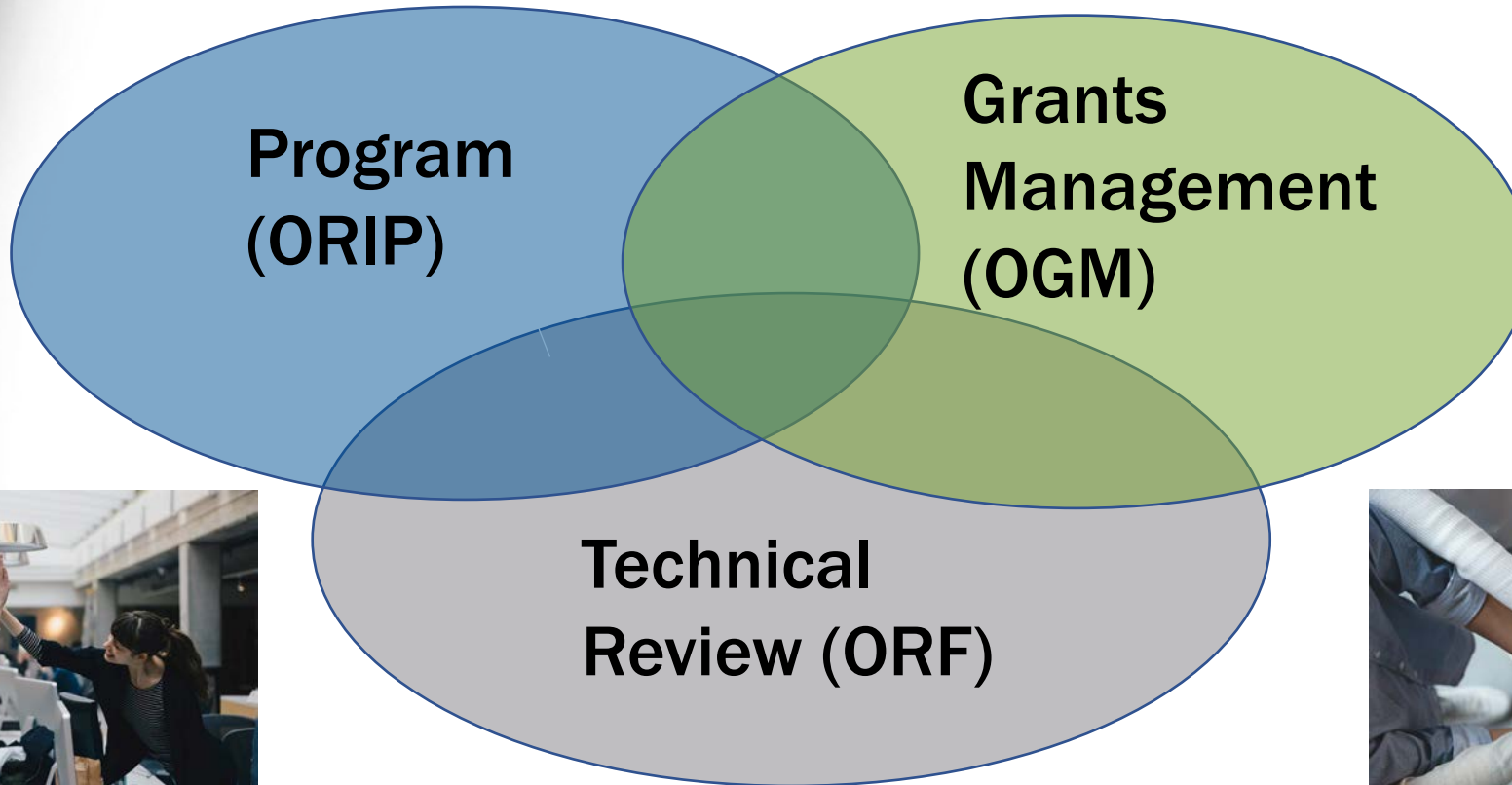
**ORF – Office of Research Facilities**

**OGM – Office of Grants Management**





# NIH: Managing Construction Grants



**ORIP – Office of Research Infrastructure Programs**

**OGM – Office of Grants Management**

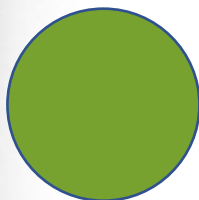
**ORF – Office of Research Facilities**



# Timeline: Budget Period of a C06 Award

Notice of the Award (NoA) issued: Funds restricted for technical design

All funds must be expended and fully disbursed on the Federal Cash Transaction Report



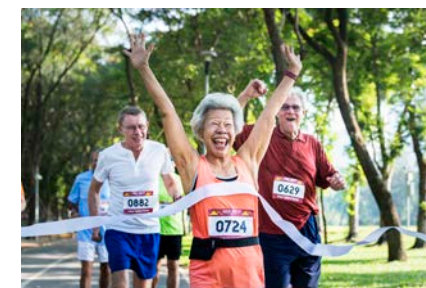
**Sept. 2023**



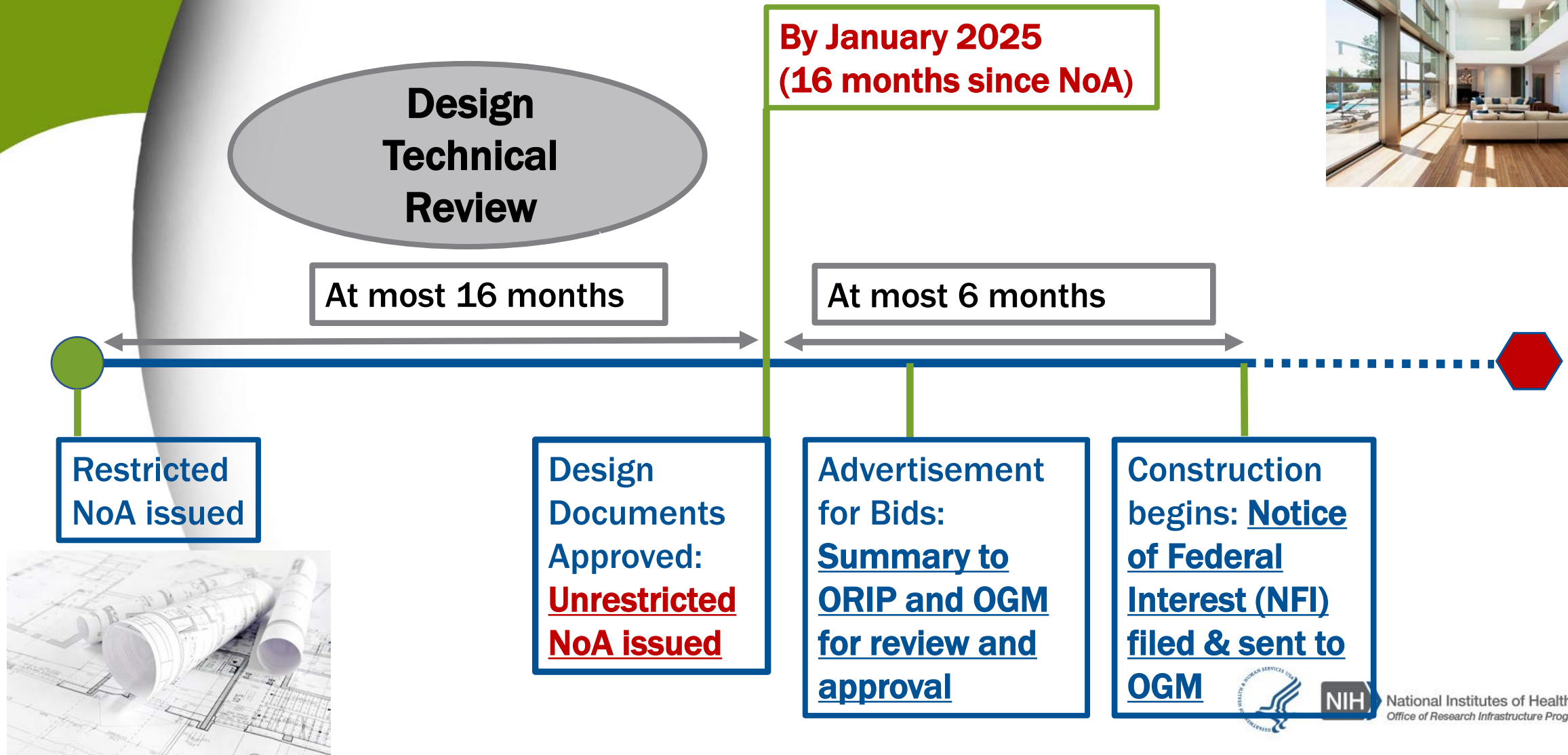
**May 31, 2028**



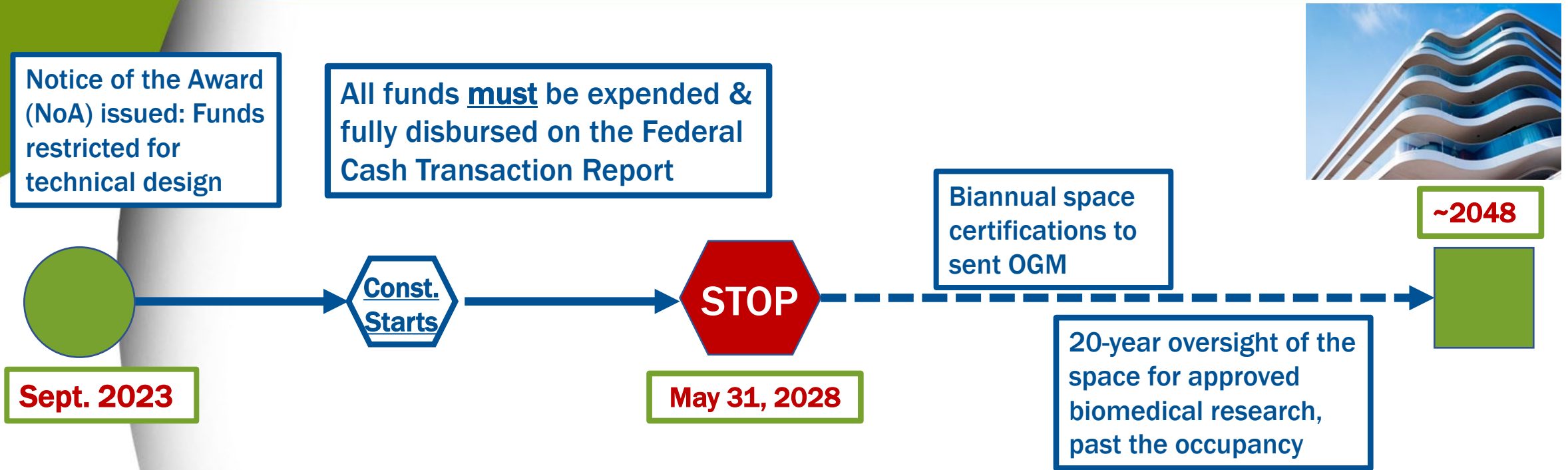
**Total budget time is only 4 yrs. & 8 mons (56 mons).**



# Timeline: Pre-construction period



# Timeline: Federal Interest Period of C06 Award





# Challenges and Lessons Learned

- **Construction projects are time-pressing and challenging to manage.**
- **Inflation and supply chain disruptions are incredibly destructive.**
- **Dedicated team and project/program management skills are critical. Familiarity with NIH Design Requirement Manual helps.**
- **Delays can lead to early termination (failure) of the construction projects and relinquishment of the funds, especially in situations of limited internal support, unmanageable time, cost, etc.**
- ***“Can NIH give us more money to help us?” – sadly, NIH cannot.***
- ***“We’ve learned a lesson. If given another chance, we wouldn’t delay a bit.”***



# Recommendations

Successful teams are those who have access to resources and have strong institutional support, and who keep project on track.

Advices/Take home messages:

- Keep your POs closely informed – NIH colleagues are your supporters. Regularly update your PO bi-monthly/monthly.
- Think ahead. Prepare your next steps and materials early. Leave sufficient buffer in your timelines for unexpected events.
- Mobilize institutional support for extra funds and resources.
- Time is tight – and stick to schedule.
- Minimize changes, redos and wastes.

**NIH will not approve scope change requests after DTR review is complete.**



# C06 Award Requirements

**Kenneth Holiness**  
Grants Management Specialist



# Award Requirements

- PI is responsible for
  - Leading and overseeing the project
  - Annual Progress Reports
  - Final Progress Report

## **ORIP – Program Related Questions**

Yong Chen ([yong.chen@nih.gov](mailto:yong.chen@nih.gov))

or

Guanghu (Jeff) Wang ([guanghu.wang@nih.gov](mailto:guanghu.wang@nih.gov))





# Award Requirements

- **All official communications outside the design submission process must be submitted to OGM and ORIP by an Authorized Organization Representative**
  - **Prior Approvals (e.g., contracting methods, change of scope\*, construction bids, change of PI)**

Gavin Wilkom, MIM  
OGM



# C06 Grants Management Contacts

- **Sabrina Oasan**
  - [sabrina.oasan@nih.gov](mailto:sabrina.oasan@nih.gov)
- **Kenneth Holiness**
  - [kenneth.holiness@nih.gov](mailto:kenneth.holiness@nih.gov)
- **Donna James**
  - [donna.james@nih.gov](mailto:donna.james@nih.gov)



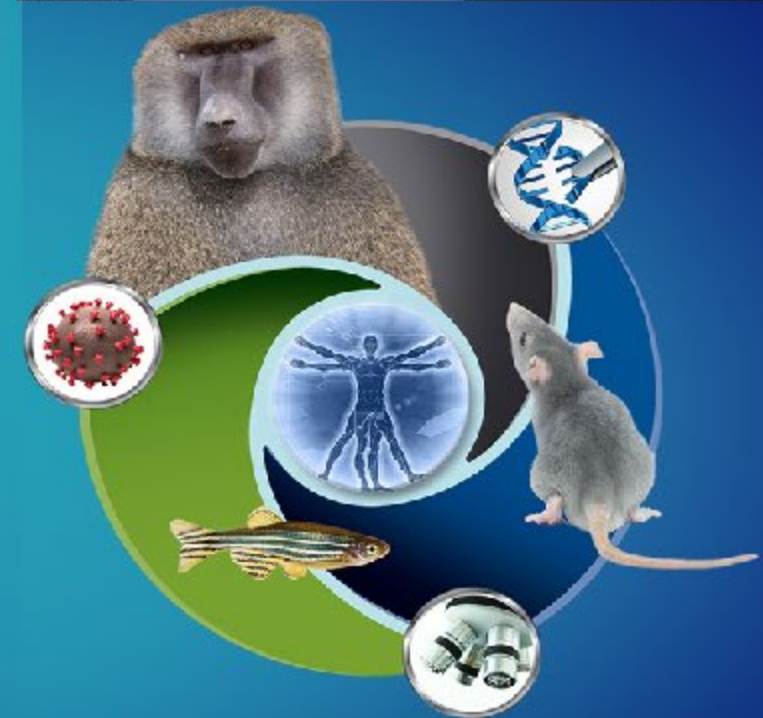
# Prior Approval Requirements

- **Change of Scope**
  - Layout of Space differs from Grant Application
- **Alternate Contracting Methods** (See Section 10.3 of the NIH Grants Policy Statement <https://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>)
  - Construction Manager as Agent
  - Construction Manager at Risk
  - Design-Build Services
- **Procurement Standards** Can be found in Uniform Guidance (2 CFR 200) and it is very similar to Federal contracting guidelines. Work with your AOR, and review Sections 200.318 through 327.
  - Prior approval if 3 bids cannot be reached
  - Bid Process public notice
- **Extensions** Review of extension requests must take into account the 5-year limitation of the expenditure of appropriated funds. May 31, 2028, is the absolute last day of this grant award.



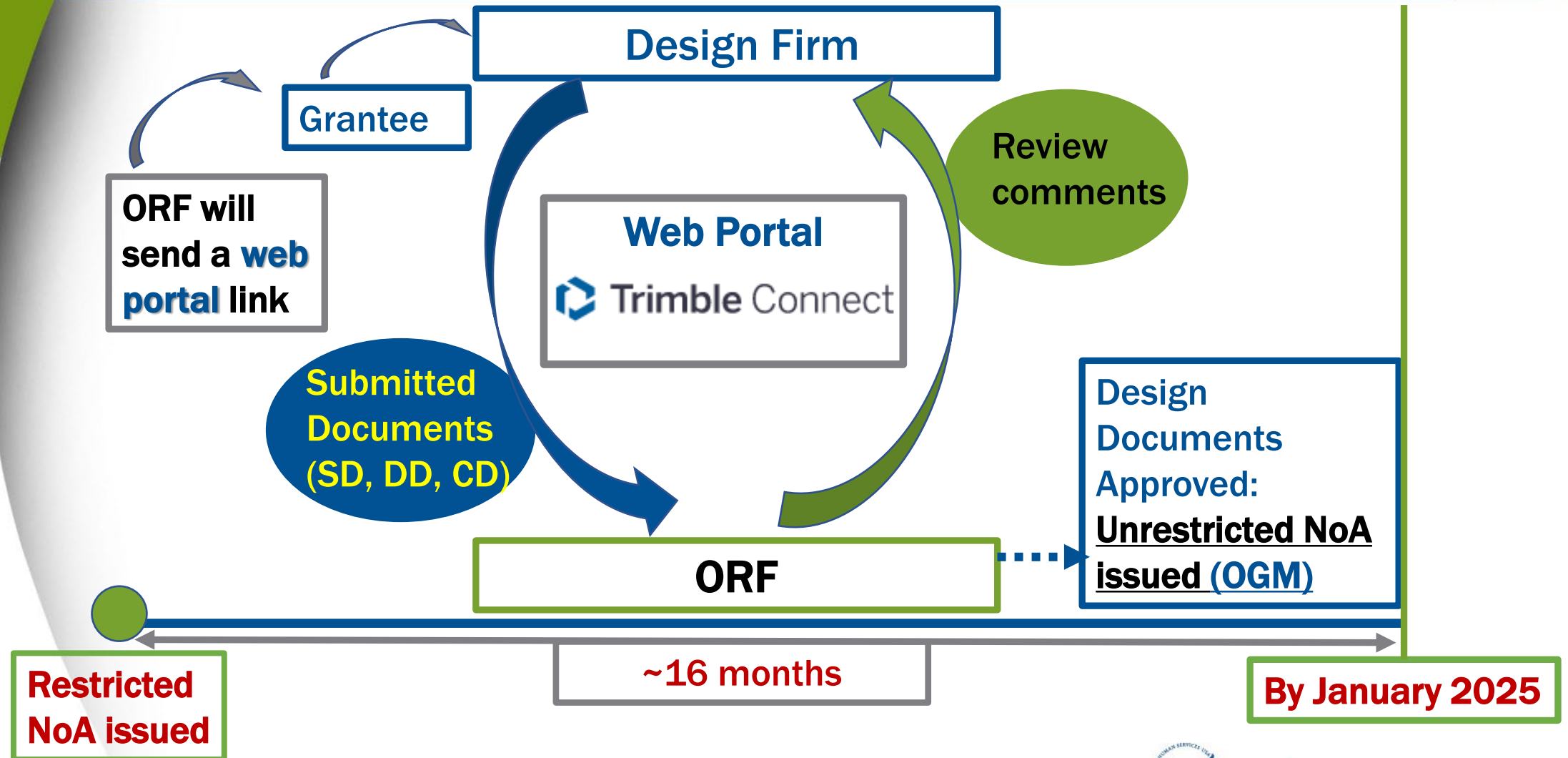
# Design Technical Review

Steven Breslin, AIA, PE  
Chief, Standards and Policy Branch  
Office of Research Facilities



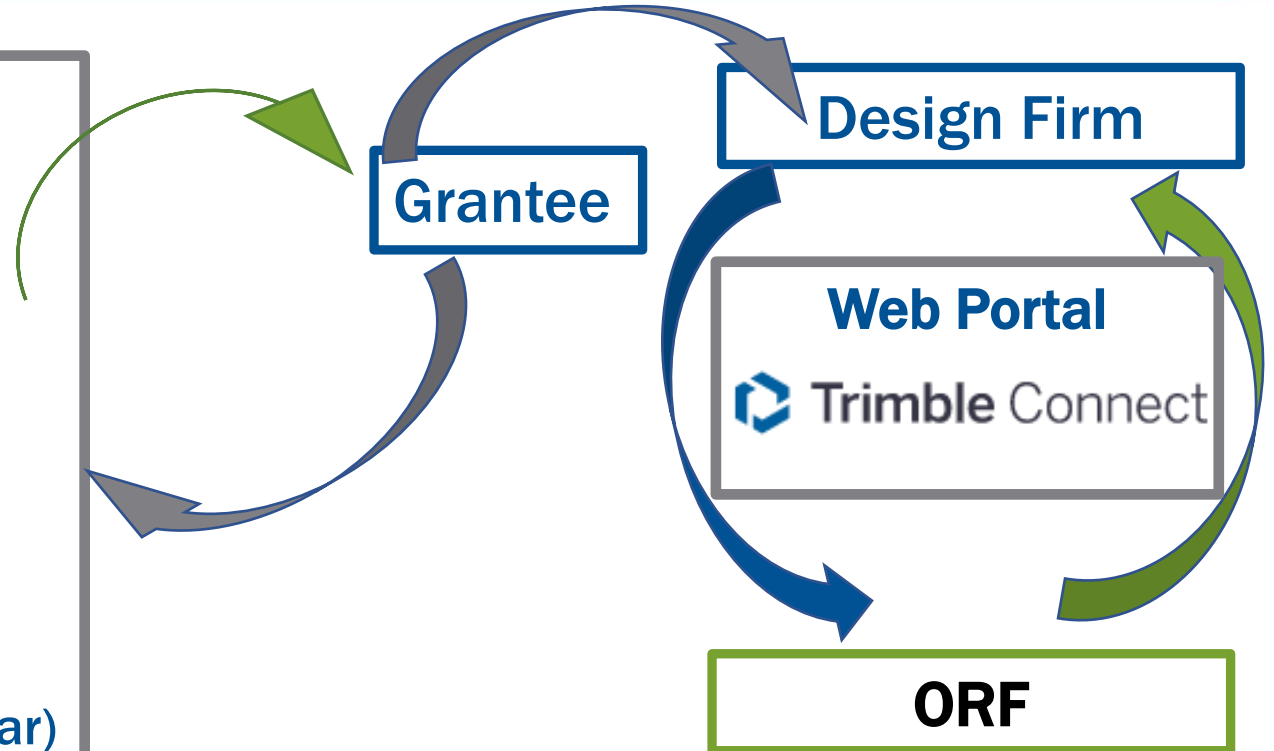


# Technical Review: Communications



# Technical Review: Communications

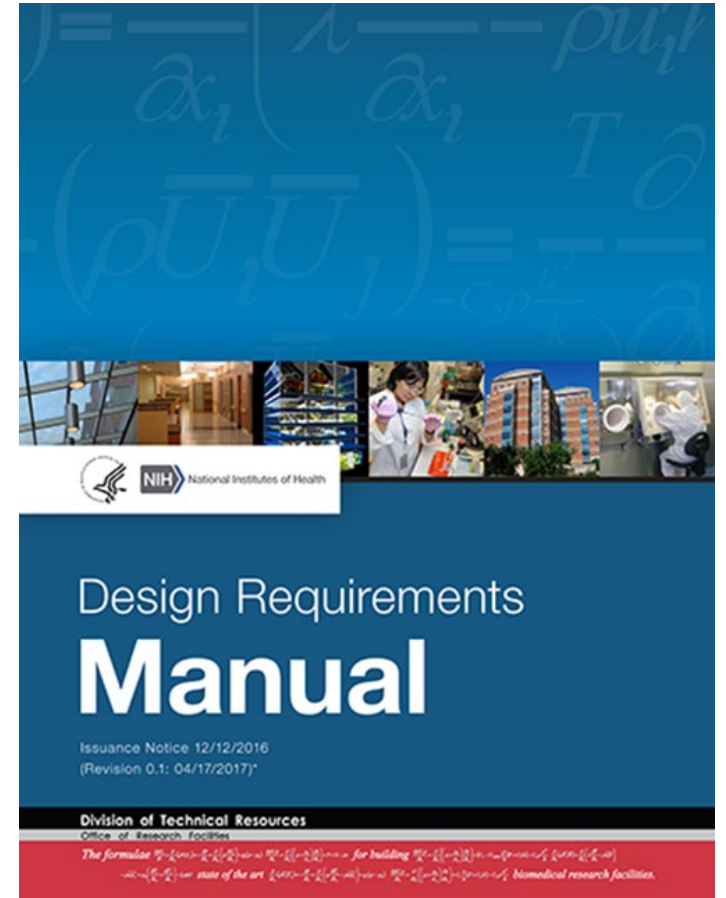
Access to **Trimble?**  
**Reply to email from**  
**ORIP & ORF with**  
**contact info of**  
**Personnel to be**  
**enabled for**  
**Trimble**  
(we'll send email after Webinar)



# Technical Review

## NIH Design Requirements Manual Technical Review Procedures

**Steven Breslin, PE**  
**ORF**



# Contact Information

**Program (ORIP) and Grants Management:**  
as listed in your Notice of the Award (NoA)

also:

[ORIPCONSTRUCTION@mail.nih.gov](mailto:ORIPCONSTRUCTION@mail.nih.gov) (monitored by  
Program)

- **ORF – [Technical design questions](#)**

Steven Breslin [steven.breslin@nih.gov](mailto:steven.breslin@nih.gov)





**Thank You!**

# Questions & Answers

**Guanghu (Jeff) Wang, [guanghu.wang@nih.gov](mailto:guanghu.wang@nih.gov)**

**Yong Chen, [yong.chen@nih.gov](mailto:yong.chen@nih.gov)**

**THANK  
YOU!**



National Institutes of Health  
Office of Research Infrastructure Programs

# **Q&A Session for Post-Award Procedures and Technical Design Requirements for NIH C06 Projects**

## **FAQs**

**Monday, September 25, 2023**

**1:00 p.m. – 3:00 p.m.**

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**Q:** What is the timeline for Trimble review once submissions are uploaded?

**A:** Reviews typically are completed within 2 weeks.

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**Q:** Who will the Trimble account invitations be sent to?

**A:** The invitations are sent to the principal investigator, who can forward the invitation to all relevant individuals.

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**Q:** Can award recipients submit to Trimble now?

**A:** Recipients can submit to Trimble after receiving their invitations to set up a Trimble account.

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**Q:** How should grant recipients review their design development schedules for approval with NIH?

**A:** Specific timelines for each phase will be dependent on the project's complexity. Recipients should communicate regularly with NIH to ensure that the project remains on schedule.

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**Q:** Is there a way to fast-track the design approval process via Trimble?

**A:** Feedback and approval at different phases is the most efficient approach because it helps minimize reworking that could be required throughout the process.

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**Q:** Are recipient teams allowed to begin the design phase and incur design expenses immediately? Will NIH allow reimbursement for design expenses incurred before notice of grant award?

**A:** Recipients may incur pre-award costs (i.e., before the beginning date of a noncompeting continuation award) at the recipient's own risk. Pre-award costs must be charged to the initial budget period of the award, unless otherwise specified by NIH. NIH expects the recipient to be fully aware that pre-award costs result in borrowing against future support and that such borrowing must not impair the recipient's ability to accomplish the project objectives in the approved time frame or in any way adversely affect the conduct of the project. The incurrence of pre-award costs in anticipation of a competing or noncompeting award imposes no obligation on

NIH either to make the award or to increase the amount of the approved budget if an award is made for less than the amount anticipated and is inadequate to cover the pre-award costs incurred.

*Example:* Pre-award costs incurred for architect fees, consultant fees, and environmental analysis necessary to the planning and design of the project are allowable if the project is subsequently approved and funded. Pre-award construction or modernization costs generally are unallowable unless NIH grants an exception.

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**Q:** Is there a document that outlines minimum submission requirements for each design phase?

**A:** Appendix E of the Design Requirements Manual details all applicable submission requirements.

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**Q:** Are cost estimates required with each design submission?

**A:** Cost estimates will not be reviewed and are not a required part of the submission. However, tracking of cost estimates is highly recommended.

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**Q:** How can recipients schedule a call to discuss Construction Manager at Risk (CMAR) contract approval and adjustments to design schedule due to state approval requirements before being able to proceed to the design development and construction documents phase of design?

**A:** NIH allows some flexibility in the submissions based on individual project needs and coordination with submissions to other entities. Please work with your organization's Office of Sponsored Programs to review the requirements of Section 10.3 of the NIH Grants Policy Statement.

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**Q:** Who do recipients reach out to concerning CMAR guidelines?

**A:** Grant recipients should contact the NIH Office of Grants Management (OGM) about these guidelines for approval. Program officers should be copied on all communications.

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**Q:** Do recipients submit architectural contracts and CMAR construction contracts for approval prior to execution?

**A:** Yes, prior approval is needed.

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**Q:** Is there a recommended or best time during the design phase for design teams to submit variance requests from the Design Requirements Manual?

**A:** These requests should be submitted as early as possible—as soon as the variances are predicted. Recipients should provide a well-reasoned rationale for each request.

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**Q:** If the recipient team already has a designer and a high-quality design on a previous, near-identical project also funded by a C06 grant, will NIH approve the use of the same design team? Will there be a requirement to go through a repeat of the architect selection process?

**A:** Yes, the same design team can be used without prior approval.

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**Q:** Can unallowable items be reconsidered through a formal justification?

**A:** Specific cases should be discussed with the program officer and OGM.

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**Q:** If unforeseen circumstances cause the funds to go beyond 5 years, could an extension be provided?

**A:** No extensions will be provided. In the event of such circumstances, the team should contact NIH to terminate the project early.

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**Q:** Is the construction project allowed to be completed after May 31, 2028, as long as the C06 grant dollars are spent before that date?

**A:** NIH strongly encourages that the project be completed by this date. If more time is needed, funds must be obtained from other sources to cover any remaining costs.

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**Q:** Regarding the 10% contingency fee, is that a dollar amount that is allowed to extend beyond the award amount, or only within the award dollar amount?

**A:** The total dollar amount must remain within the budget.

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**Q:** How will follow-up questions be answered?

**A:** Grant recipients may contact their program officers, OGM, or the Office of Research Facilities.

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